

Data Security and Protection Toolkit Version 6.0

Change
Specification



Data Alliance Partnership Board

The Data Alliance Partnership Board (DAPB), which holds delegated authority from the Secretary of State for Health and Social Care, has approved a [new] [change to an existing] information standard for publication under [section 250 of the Health and Social Care Act 2012](#).

Assurance that this information standard meets the requirements of the Act and is appropriate for the use specified in the specification document has been provided by the Data Standards Assurance Service (DSAS) and endorsed by the Data Alliance Partnership Sub Board (DAPSB).

This information standard comprises the following documents:

- Change Specification
- Implementation Guidance
- Requirements Specification

An Information Standards Notice (DAPB0086 Amd 21/2023) has been issued as a notification of use and implementation timescales. Please read this alongside the documents for the standard.

The controlled copies of these documents can be found on the [NHS England website](#). Any copies held outside of that area, in whatever format (e.g. paper, email attachment), are considered to have passed out of control and should be checked for currency and validity.

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Document management

Revision History

Version	Date	Summary of Changes
0.1	22/03/2023	First draft.
0.2	29/03/2023	Minor amendments in response to queries from the Data Standards Assurance Service.
0.3	03/05/2023	Updates to document links and references from NHS Digital to NHS England
0.4	03/06/2023	Version number updated
0.5	21/06/2023	Updated following comments by Data Standards Assurance Service (DSAS).
1.0	18/08/2023	Transfer to new NHS England template

Reviewers

This document must be reviewed by the following people:

Reviewer name	Title / Responsibility	Date	Version
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Glossary of Terms

A glossary of terms is available in the [Requirements Specification](#).

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1. Overview

The proposed changes to the standard will see improved clarity of language and a reduction in the number of requirements. Version 6 of the Data Security and Protection Toolkit (DSPT) is designed to be a minimal change year in preparation of larger changes proposed for 2024-25.

This Change Specification outlines the key differences between the Data Security and Protection Toolkit (DSPT) version 5 (2022-23) and the updated DSPT version 6 (2023-24).

This document should be read in conjunction with the DSPT Requirements Specification (specifically Appendix 1 – Assertions and Evidence items) and Implementation Guidance, which may be found on the [NHS England website](#).

2. Definition

The DSPT is an online tool that enables organisations to measure their performance against data security and information governance requirements set by the Department of Health and Social Care.

The Toolkit has been developed in response to [The NDG Review \(Review of Data Security, Consent and Opt-Outs\)](#) published in July 2016 and the [government response](#) published in July 2017.

The Data Security and Protection Toolkit is the successor framework to the IG Toolkit.

3. Guidance by user group

In accordance with the requirements of the Government Digital Service, the design and content of the DSPT have been developed to ensure that the system is easy to use. The solution is designed to enable most users to be able to complete and publish an assessment without reference to detailed guidance documentation. The system has been developed in consultation with users and stakeholders.

Guidance materials are made available via the [DSPT Help pages](#). As far as reasonably possible sector specific guidance will be avoided but language which is suitable for all sectors has been included, tested with users and updated following consultation.

For more information, please refer to the DSPT [Implementation Guidance](#) documentation.

4. Statement of all changes to the published Requirements Specification

4.1. DSPT version 6 – overview of changes

The DSPT Standard is reviewed annually. The proposed 2022-23, version 6 standard sees a reduction in the total number of evidence items for all sectors. Changes have been made in order to:

A summary of the changes in this release follows:

- Recategorise key IT Suppliers and Operators of Essential Service under the Network and Information Systems (NIS) Directive as category 1 organisations.
- Rationalise evidence items where they are now considered “business as usual” or where there is overlap between evidence items.
- Make specific improvements on Multifactor authentication to reflect updated policy.
- Reflect feedback from stakeholders particularly:
- Update the requirement for staff training to allow larger organisations more flexibility on how it is delivered.

4.2. DSPT changes – rationale and examples

Key IT Suppliers and Organisation designated as Operators of Essential Service under the Network and Information Systems (NIS) Directive reclassification

- 4.2.1 The DSPT standard has been updated to increase the level of requirements for key IT Suppliers and Organisation designated as Operators of Essential Service under the Network and Information Systems (NIS) Directive. Following a significant incident in the supply chain of health and care raising the level of requirement for key IT Suppliers and Organisation designated as Operators of Essential Service under the Network and Information Systems (NIS) Directive has been highlighted by NHS England Joint Cyber Unit. Increasing the requirement for key IT Suppliers is included in the NHS Cyber Strategy: [‘A Cyber Resilient Health and Social Care System in England’ Cyber Security Strategy for Health and Social Care to 2030](#). with a commitment to ‘increasing standards critical suppliers are held to through the DSPT.
- 4.2.2 This will mean that Key IT Suppliers and Organisation designated as Operators of Essential Service under the Network and Information Systems (NIS) Directive receive the same Data Security and Protection Toolkit as NHS trusts, Commissioning Support Units, Integrated Care Boards and Arms Length Bodies.

Strengthen technical requirements to reflect the current threat landscape.

4.2.3 As part of the annual review of DSP Toolkit requirements have been updated to reflect the current threat landscape including to make specific improvements on Multifactor authentication. For example, evidence item 4.5.3 which for category 1 was Multifactor authentication is used wherever technically feasible. Has been updated and strengthened to give a clearer steer to use Multifactor Authentication from 2022-23 (v5) to 2023-24 (v6).

Update Staff training requirements to give more flexibility to large organisations delivery.

4.2.4 NHSX established a review group in May 2022 to consider the DSPT staff training requirement, with representation from NHS X, NHS England Privacy team, NHS Digital, the Office of the National Data Guardian, NHS trusts, primary care, local authorities, and arm's length bodies.

4.2.5 The evidence items have been re-written to “measure the outcome” of the effectiveness of training and awareness activities, rather than measuring the delivery of training. They are written in a way that fits the presentation of the current DSPT, but they are designed to meet the relevant CAF indicators of good practice ready for 24-25 when the CAF is fully implemented.

4.2.6 It is acknowledged that there is a perception risk or changing the training requirements in the DSPT. Additional mitigations have been put in place to support organisations including communication campaign, guidance and including this requirement in the mandatory audit scope.

Rationalise evidence items where they are now considered “business as usual” or where there is overlap between evidence items.

4.2.7 Each year evidence items are reviewed alongside feedback from users to rationalise evidence items.

4.2.8 Two evidence items have removed for Cat1 and CAT3 organisations due to overlap with other evidence items and not providing additional assurance beyond what is given in other evidence items.

4.3. Annual review

4.3.1 The proposed updates to the previous DSPT 2022-23 standard have led to a small reduction in total number of evidence items in Category 1 and Category 3. Comparative breakdowns of both the total number of evidence items and total number of mandatory evidence items are provided in the tables below:

	Category 1 organisations	Category 2 organisations	Category 3 organisations	Category 4 organisations
Total number of evidence items 2022-23 v5	131	N/A	78	39
Total Number of evidence items 2022-23 v6	131	N/A	77	39

	Category 1 organisations	Category 2 organisations	Category 3 organisations	Category 4 organisations
Total number of mandatory evidence items 2022-23 v5	113	N/A	42	28
Total number of mandatory evidence items 2022-23 v6	109	N/A	42	28

4.4. DSPT version 5 and 6 comparison

Appendix 1 provides the DSPT 2023-24 (version 6) requirements together with details of changes when compared to DSPT 2022-23 (version 5), including those evidence items which have been removed.

5. Change control during 2023-24

System refinements and new functionality will be deployed throughout 2023-24. Details of these changes will be set out within the “[System changes and release notes](#)” page on the DSPT: <https://www.dsptoolkit.nhs.uk/News/release-notes>. Material changes to the wording in the standards themselves will only be made in exceptional circumstances, such as where new legislation amends the requirement. This would be communicated to the users via email to those directly affected and set out within the “Standard changes and release notes” page on the DSPT help page.

Appendix 1 – DSPT 2022-23 (version 5) to 2023-24 (version 6) mapping

Please refer to [separate file](#):

Appendix 1 – Assertions and Evidence Statements v1.3.xlsx

Appendix 2 – Useful web links

A list of URLs and links used in this document.

DAPB0086 Information Standards webpage

Short URL: <http://digital.nhs.uk/isce/publication/dapb0086>

Full URL: <https://digital.nhs.uk/data-and-information/information-standards/information-standards-and-data-collections-including-extractions/publications-and-notifications/standards-and-collections/dapb0086-data-security-and-protection-toolkit>

National Data Guardian “Review of Data Security Consent and Opt Outs” July 2016

<https://www.gov.uk/government/publications/review-of-data-security-consent-and-opt-outs>

Government Response “Your Data: Better Security, Better Choice, Better Care” July 2017

<https://www.gov.uk/government/consultations/new-data-security-standards-for-health-and-social-care>

Help pages of the DSPT

<https://www.dsptoolkit.nhs.uk/Help/5>

Cyber security strategy for health and adult social care March 2023.

<https://www.gov.uk/government/publications/cyber-security-strategy-for-health-and-social-care-2023-to-2030>

Pipeline of future development available on the DSPT

<https://www.dsptoolkit.nhs.uk/News/release-notes>